

JCB972 U.S.

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PTO/SB/05 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
*(Submit an original and a duplicate for fee processing)*

2.  Applicant claims small entity status.  
See 37 CFR 1.27.

3.  Specification [Total Pages 25]  
*(preferred arrangement set forth below)*  
 - Descriptive title of the invention  
 - Cross Reference to Related Applications  
 - Statement Regarding Fed sponsored R & D  
 - Reference to sequence listing, a table, or a computer program listing appendix  
 - Background of the Invention  
 - Brief Summary of the Invention  
 - Brief Description of the Drawings (if filed)  
 - Detailed Description  
 - Claim(s)  
 - Abstract of the Disclosure

4.  Drawing(s) (35 U.S.C. 113) [ Total Sheets 4 ]

5. Oath or Declaration [ Total Pages ]  
 a.  Newly executed (original or copy)  
 b.  Copy from a prior application (37 CFR 1.63 (d))  
*(for continuation/divisional with Box 17 completed)*  
 i.  **DELETION OF INVENTOR(S)**  
 Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6.  Application Data Sheet. See 37 CFR 1.76

Attorney Docket No. Y0R9-2000-0606US1(8728-422)

First Inventor ERICKSON

Title METHOD AND SYSTEM FOR MARKETPLAC

Express Mail Label No. EL599449895US

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission  
*(if applicable, all necessary)*

- Computer Readable Form (CRF)
- Specification Sequence Listing on:
  - CD-ROM or CD-R (2 copies); or
  - paper
- Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9.  Assignment Papers (cover sheet & document(s))

10.  37 CFR 3.73(b) Statement  Power of  
*(when there is an assignee)*  Attorney

11.  English Translation Document (if applicable)

12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS  
Citations

13.  Preliminary Amendment

14.  Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*

15.  Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*

16.  Other: .....

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation     Divisional     Continuation-in-part (CIP)

of prior application No. 09,662,499

Prior application information: Examiner \_\_\_\_\_

Group / Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS**
 Customer Number or Bar Code Label  

(Insert Customer No. or Attach bar code label here)

 or  Correspondence address below

|         |   |           |              |          |
|---------|---|-----------|--------------|----------|
| Name    | Frank Chau, Esq.  |           |              |          |
| Address | F. CHAU & ASSOCIATES, LLP<br>1900 Hempstead Turnpike, Suite 501 |           |              |          |
| City    | East Meadow   | State     | New York     | Zip Code |
| Country | USA   | Telephone | 516-357-0091 | Fax      |

|                   |   |                                   |        |
|-------------------|---|-----------------------------------|--------|
| Name (Print/Type) | Frank Chau  | Registration No. (Attorney/Agent) | 34,136 |
| Signature         |  |                                   |        |
|                   | Date 11/30/00   |                                   |        |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

JCB972 U.S.  
09/727079 PRO  
1/30/00

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

ATTORNEY DOCKET: Y0R9-2000-0606US1 (8728-422)  
Date: November 30, 2000  
Express Mail Label: EL599449895US  
Date of Deposit: November 30, 2000

JC886 U.S. PTO  
09/727079  
11/30/00

Transmitted herewith for filing is the Patent Application of:

Inventors: Thomas D. Erickson, Peter K. Malkin  
For: METHOD AND SYSTEM FOR MARKETPLACE SOCIAL PROXIES

Enclosed are: [X] 19 sheets of specification; [X] 1 sheet(s) of Abstract; [X] 5 sheet(s) of claims; [X] 4 sheet(s) of drawing(s);

[ ] An assignment of the invention to International Business Machines Corporation with Recordation Form.

[ ] Declaration and Power of Attorney.

[ ] A certified copy of a \_\_\_\_\_ application, from which priority under Title 35 USC §119 is claimed.

[ ] Associate Power of Attorney.

The filing fee has been calculated as shown below:

(Col. 1) (Col. 2)

| FOR:                                | NO. FILED | NO. EXTRA |
|-------------------------------------|-----------|-----------|
| BASIC FEE                           |           |           |
| TOTAL CLAIMS                        | 24 - 20 = | 4         |
| INDEP CLAIMS                        | 3 - 3 =   | 0         |
| MULTIPLE DEPENDENT CLAIMS PRESENTED |           |           |

If the difference in Col. 1 is less than zero, enter "0" in Col. 2.

OTHER THAN A SMALL ENTITY

| RATE     | FEE       |
|----------|-----------|
|          | \$710.00  |
| X \$18 = | 72.00     |
| X \$80 = | 0         |
| + 270 =  |           |
| TOTAL    | \$ 782.00 |

[ ] A check in the amount of \$\_\_\_\_\_ to cover the [ ] filing fee(s), [ ] recording fee is enclosed.

[X] Please charge my Deposit Account No. 50-0510/IBM (Yorktown Heights) in the amount of \$782.00.

[X] The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0510/IBM (Yorktown Heights). A duplicate copy of this sheet is enclosed.

[X] Any additional filing fees required under 37 CFR 1.16.

[X] Any patent application processing fees under 35 CFR 1.17.

Respectfully submitted,

By:

  
Frank Chau  
Registration No. 34,136

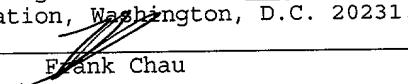
Please address all correspondence to:

F. CHAU & ASSOCIATES, LLP  
1900 Hempstead Tpke., Suite 501  
East Meadow, NY 11554  
Tel: (516) 357-0091  
Fax: (516) 357-0092

Attorney for:

IBM Corporation  
Intellectual Property Law Dept.  
P.O. Box 218  
Yorktown Heights, NY 10598

**CERTIFICATION UNDER 37 C.F.R. §1.10**  
I hereby certify that this Application transmittal and documents referred to as enclosed are being deposited with the United States Postal Service on this date November 30, 2000 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EL599449895US addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

  
Frank Chau

JC972 U.S. PTO  
11/30/00PTO/SB/17 (09-00)  
Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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JC886 U.S. PTO  
09/17/2000  
11/30/00

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 782.00)

## Complete if Known

|                      |                              |
|----------------------|------------------------------|
| Application Number   |                              |
| Filing Date          | November 30, 2000            |
| First Named Inventor | Thomas D. Erickson           |
| Examiner Name        |                              |
| Group Art Unit       |                              |
| Attorney Docket No.  | YOR9-2000-0606US1 (8728-422) |

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to

Deposit Account Number

50-0510/IBM

Deposit Account Name

IBM/Yorktown Heights

 Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17 Applicant claims small entity status  
See 37 CFR 1.272.  Payment Enclosed: Check  Credit card  Money Order  Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code (\$) Fee Code (\$) Fee Description

Fee Paid

|     |     |     |     |                        |
|-----|-----|-----|-----|------------------------|
| 101 | 710 | 201 | 355 | Utility filing fee     |
| 106 | 320 | 206 | 160 | Design filing fee      |
| 107 | 490 | 207 | 245 | Plant filing fee       |
| 108 | 710 | 208 | 355 | Reissue filing fee     |
| 114 | 150 | 214 | 75  | Provisional filing fee |

SUBTOTAL (1) (\$ 710.00)

## 2. EXTRA CLAIM FEES

|                    | Extra Claims | Fee from below      | Fee Paid |
|--------------------|--------------|---------------------|----------|
| Total Claims       | 24           | -20** = 4 x 18 = 72 |          |
| Independent Claims | 3            | -3** = 0 x 80 = 0   |          |
| Multiple Dependent |              | 270 =               |          |

Large Entity Small Entity

Fee Code (\$) Fee Code (\$) Fee Description

|     |     |     |     |  |
|-----|-----|-----|-----|--|
| 103 | 18  | 203 | 9   | Claims in excess of 20                                     |
| 102 | 80  | 202 | 40  | Independent claims in excess of 3                          |
| 104 | 270 | 204 | 135 | Multiple dependent claim, if not paid                      |
| 109 | 80  | 209 | 40  | ** Reissue independent claims over original patent         |
| 110 | 18  | 210 | 9   | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 72.00)

\*\*or number previously paid, if greater; For Reissues, see above

## 3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description   | Fee Paid |
|----------------------------|----------------------------|---|----------|
| 105                        | 130                        | 205 65 Surcharge - late filing fee or oath  |          |
| 127                        | 50                         | 227 25 Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                        | 130                        | 139 130 Non-English specification   |          |
| 147                        | 2,520                      | 147 2,520 For filing a request for ex parte reexamination                         |          |
| 112                        | 920*                       | 112 920* Requesting publication of SIR prior to Examiner action                   |          |
| 113                        | 1,840*                     | 113 1,840* Requesting publication of SIR after Examiner action                    |          |
| 115                        | 110                        | 215 55 Extension for reply within first month                                     |          |
| 116                        | 390                        | 216 195 Extension for reply within second month                                   |          |
| 117                        | 890                        | 217 445 Extension for reply within third month                                    |          |
| 118                        | 1,390                      | 218 695 Extension for reply within fourth month                                   |          |
| 128                        | 1,890                      | 228 945 Extension for reply within fifth month                                    |          |
| 119                        | 310                        | 219 155 Notice of Appeal  |          |
| 120                        | 310                        | 220 155 Filing a brief in support of an appeal                                    |          |
| 121                        | 270                        | 221 135 Request for oral hearing  |          |
| 138                        | 1,510                      | 138 1,510 Petition to institute a public use proceeding                           |          |
| 140                        | 110                        | 240 55 Petition to revive - unavoidable   |          |
| 141                        | 1,240                      | 241 620 Petition to revive - unintentional  |          |
| 142                        | 1,240                      | 242 620 Utility issue fee (or reissue)  |          |
| 143                        | 440                        | 243 220 Design issue fee  |          |
| 144                        | 600                        | 244 300 Plant issue fee   |          |
| 122                        | 130                        | 122 130 Petitions to the Commissioner   |          |
| 123                        | 50                         | 123 50 Petitions related to provisional applications                              |          |
| 126                        | 240                        | 126 240 Submission of Information Disclosure Stmt                                 |          |
| 581                        | 40                         | 581 40 Recording each patent assignment per property (times number of properties) |          |
| 146                        | 710                        | 246 355 Filing a submission after final rejection (37 CFR § 1.129(a))             |          |
| 149                        | 710                        | 249 355 For each additional invention to be examined (37 CFR § 1.129(b))          |          |
| 179                        | 710                        | 279 355 Request for Continued Examination (RCE)                                   |          |
| 169                        | 900                        | 169 900 Request for expedited examination of a design application                 |          |

Other fee (specify) \_\_\_\_\_

Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0)

## SUBMITTED BY

Complete (if applicable)

|                   |   |                                      |        |           |                |
|-------------------|---|--------------------------------------|--------|-----------|----------------|
| Name (Print/Type) | Frank Chau  | Registration No.<br>(Attorney/Agent) | 34,136 | Telephone | (516) 357-0091 |
| Signature         |  |                                      |        | Date      | 11/30/00       |

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